

TRANSMITTAL FORM

(to be used for correspondence after initial filing)

Total Number of Pages in This Submission

6

Application Number

09/728,159

Filing Date

December 2, 2000

First Named Inventor

Brian Shuster

Group Art Unit

Examiner Name

Attorney Docket Number

4633P005x2

ENCLOSURES (check all that apply)

☒ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☒ Response to Missing Parts/Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) _____

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s) (please identify below):

postcard; copy of Notice

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm

or

Individual name

Eric S. Hyman, Reg. No. 30,139

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN

Signature

Date

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JUL 31 2001

Group 2100

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 7/12/01

Typed or printed name

Kumiko Alexander

Signature

Date

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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Complete if Known

Application Number	09/728,159
Filing Date	12/02/00
First Named Inventor	Brian Shuster, et al.
Examiner Name	
Group Art Unit	
Attorney Docket Number	4633P005x2

FEE TRANSMITTAL**for FY 2001**

Patent fees are subject to annual revision.

AMOUNT OF PAYMENT (\$)

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

- ☒ Charge Any Additional Fee Required Under 37CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

FEE CALCULATION**1. FILING FEE**

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
101 710 201 355		Utility filing fee	
106 320 206 160		Design filing fee	
107 490 207 245		Plant filing fee	
108 710 208 355		Reissue filing fee	
114 150 214 75		Provisional filing fee	

SUBTOTAL (1) (\$)

2. CLAIMS

Total Claims	Extra	Fee from below	Fee Paid
Independent Claims <u>2</u>	<u>1</u>	<u>1</u>	<u>1</u>

Multiple Dependent Claims

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
103 18 203 9		Claims in excess of 20	
102 80 202 40		Independent claims in excess of 3	
104 270 204 135		Multiple Dependent claim	
109 80 209 40		Reissue independent claims over original patent	
110 18 210 9		Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$)

*or number previously paid, if greater. For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEE**

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105 130 205 65		Surcharge - late filing fee or oath	
127 50 227 25		Surcharge - late provisional filing fee or cover sheet.	
139 130 139 130		Non-English specification	
147 2,520 147 2,520		For filing a request for <i>ex parte</i> reexamination	
112 920 112 920		Requesting publication of SIR prior to Examiner action	
113 1,840 113 1,840		Requesting publication of SIR after Examiner action	
115 110 215 55		Extension for response within first month	
116 390 216 195		Extension for response within second month	
117 890 217 445		Extension for response within third month	
118 1,390 218 695		Extension for response within fourth month	
128 1,890 228 945		Extension for response within fifth month	
119 310 219 155		Notice of Appeal	
120 310 220 155		Filing a brief in support of an appeal	
121 270 221 135		Request for oral hearing	
138 1,510 138 1,510		Petition to institute a public use proceeding	
140 110 240 55		Petition to revive - unavoidably	
141 1,240 241 620		Petition to revive - unintentionally	
142 1,240 242 620		Utility issue fee (or reissue)	
143 440 243 220		Design issue fee	
144 600 244 300		Plant issue fee	
122 130 122 130		Petitions to the Commissioner	
123 50 123 50		Petitions related to provisional applications	
126 240 126 240		Submission of Information Disclosure Stmt	
581 40 581 40		Recording each patent assignment per property (times number of properties)	
146 710 246 355		Filing a submission after final rejection (37 CFR 1.129(a))	
149 710 249 355		For each additional invention to be examined (37 CFR 1.129(b))	
179 710 279 355		Request for Continued Examination (RCE)	
169 900 169 900		Request for expedited examination of a design application	

Other fee (specify) _____

SUBTOTAL (3) (\$)

* Reduced by Basic Filing Fee Paid

SUBMITTED BY

Typed or Printed Name	Eric S. Hyman, Reg. No. 30,139	Complete (if applicable)	
Signature	<i>Eric S. Hyman</i>	Reg. Number	
	Date <u>5/12/01</u>	Deposit Account User ID	02-2666

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Docket No.: 04633.P005x2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Brain Shuster, Edwin Sahakian and Craig
James Beasley

Application No.: 09/728,159

Filed: December 2, 2000

For: METHOD AND APPARATUS FOR
CONTROLLING AN
ANIMATRONIC DEVICE IN AN
INTERACTIVE GAME
ENVIRONMENT

RESPONSE TO NOTICE OF INCOMPLETE REPLY

Hon. Commissioner of
Patents and Trademarks
Washington, D.C. 20231

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JUL 31 2001

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Dear Sir:

This is in response to a Notice of Incomplete Reply mailed June 19, 2001.

The Notice alleges that the reply to the Notice to File Missing Parts mailed January 17, 2001 subject application has been entered in to the nonprovisional application, but the reply did not include a properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date. However, on February 6, 2001, Applicant mailed a response to the Notice to File Missing Parts along with a properly signed declaration and power of attorney and certificate of mailing, a copy of which is enclosed as well as a postcard receipt which with a date stamp of February 9, 2001.

In view of the foregoing, withdrawal of the Notice of Incomplete Reply, and further action on the merits is requested.

In the event any petition is required for consideration of this paper, Applicant hereby petitions for such consideration. In the event any fee is required, please charge Deposit Account

02-2666. In the event any fee is charged, Applicant hereby requests refund of such fee since, in fact, there was no defect.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN

Date: _____

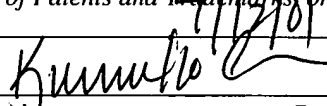
7/12/01


Eric S. Hyman Reg. No. 30,139

12400 Wilshire Blvd., 7th Floor
Los Angeles, CA 90025
(310) 207-3800

CERTIFICATE OF MAILING

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Commissioner of Patents and Trademarks, on


Kumiko Alexander

7/12/01
Date



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/728,159	12/02/2000	Brian Shuster	04633P005x2

CONFIRMATION NO. 3674

08791
BLAKELY SOKOLOFF TAYLOR & ZAFMAN
12400 WILSHIRE BOULEVARD, SEVENTH FLOOR
LOS ANGELES, CA 90025

FORMALITIES LETTER



OC000000006198402

Date Mailed: 06/19/2001

NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)

Filing Date Granted

The U.S. Patent and Trademark Office has received your reply on 02/09/2001 to the Notice to File Missing Parts (Notice) mailed 01/17/2001 and it has been entered into the nonprovisional application. The reply, however, does not include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may, however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a) accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application.

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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Group 2700

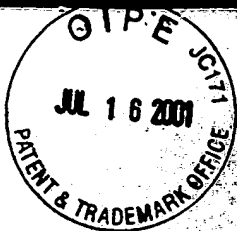


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JUL 31 2001
Group 2100

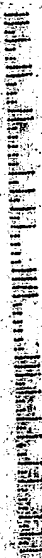
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN
LOS ANGELES

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FEB 23 2001

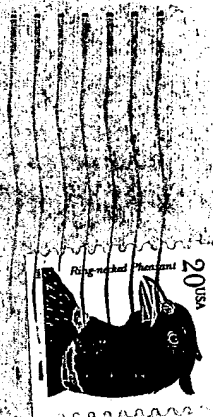
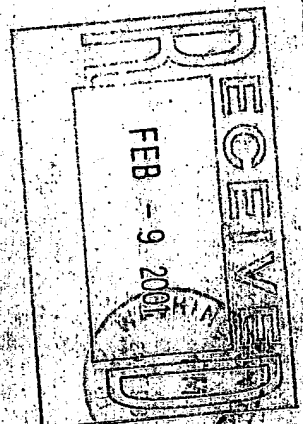
Serial/Patent No. 09/728,159 Filing/Issue Date 12-2-00
Client: United States Technologies
Title: Method and apparatus for controlling
BSTZ File No.: 004633, P005X2
Date Mailed: EST/INUS
The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:
☐ Amendment/Response (____ pgs.)
☐ Appeal Brief (____ pgs.) (in triplicate)
☐ Application - Utility (____ pgs. with cover and abstract)
☐ Application - Rule 1.53(b) Continuation (____ pgs.)
☐ Application - Rule 1.53(b) Divisional (____ pgs.)
☐ Application - Rule 1.53(b) CIP (____ pgs.)
☐ Application - Rule 1.53(d) CPX Transmittal (____ pgs.)
☐ Application - Design (____ pgs.)
☐ Application - PCT (____ pgs.)
☐ Application - Provisional (____ pgs.)
☐ Assignment and Cover Sheet
☐ Certificate of Mailing
☐ Declaration & POA (____ pgs.)
☐ Disclaimers & O&C copy of notices signed (____ pgs.)
Drawings: ____ # of sheets includes ____ figures
☒ Other: Copies of Notice
☐ Atty/Secy Initials EST/INUS
☐ Docket/Due Date 3/12/2001
☐ Express Mail No. ____
☐ Month(s) Extension of Time ____
☐ Information Disclosure Statement & PTO 148 (____ pgs.)
☐ Issue Fee/Transmittal
☐ Notice of Appeal
☐ Petition for Extension of Time
☐ Petition for
☒ Postcard
☐ Power of Attorney (____ pgs.)
☐ Preliminary Amendment (____ pgs.)
☐ Reply Brief (____ pgs.)
☐ Response to Notice of Missing Parts
☐ Small Entity Declaration for Indep. Inventor/Small Business
☒ Transmittal Letter, in duplicate
☒ Fee Transmittal, in duplicate
Check No. 19697 Amt. 130.00
Check No. ____ Amt. ____



50025-1013



BLAKELY, SOKOLOFF, TAYLOR & ZANEVANTZ
12400 Wilshire Boulevard
Seventh Floor
Los Angeles, California 90025-1026



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Group 2500